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PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|-----------------------|---|---|---------------------------|
| In re application of: | Samuel Daniel Dull, III et al | : | Date: June 22, 2001 |
| Group Art Unit: | 2182 | : | IBM Corporation |
| Examiner: | Unknown | : | Intellectual Property Law |
| Serial No.: | 09/821,920 | : | Dept. 917, Bldg. 006-1 |
| Filed: | March 30, 2001 | : | 3605 Highway 52 North |
| Title: | METHOD AND APPARATUS FOR INSTALLING AND UPGRADING AN APPLICATION IN A COMPUTER SYSTEM | : | Rochester, MN 55901-7829 |

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Serial No. 09/821,920
Docket No. ROC920010099US1

PATENT


This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(1) within three months of the filing date of the present application. Accordingly no filing fee is required.

Date: June 22, 2001

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

By

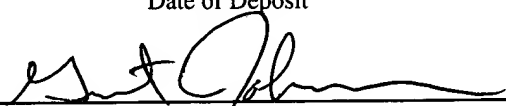

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June 22, 2001

Date of Deposit

Telephone: (507)253-4660

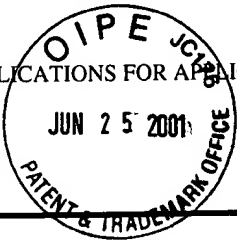
Fax: (507)253-2382


Grant A. Johnson

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S
INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ROC920010099US1SERIAL NO.
09/821,920APPLICANT:
Samuel Daniel Dull, III et alFILING DATE:
March 30, 2001GROUP:
2182 Technology Center 2100

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REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

| EXAMINER INITIALS | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE (IF APPRO.) |
|----------------------|--------------------|------------|-----------------|-------|---------------|----------------------------|
| AA | 6 1 9 9 2 0 4 | 03/06/2001 | Donohue | 717 | 11 | 09/22/1998 |
| AB | 6 0 5 1 0 3 2 | 04/18/2000 | Harrison et al. | 717 | 11 | 10/09/1997 |
| AC | 5 3 6 7 6 8 6 | 11/22/1994 | Fisher et al. | 395 | 700 | 04/12/1993 |
| AD | | | | | | |
| AE | | | | | | |
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FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS | | | | | | | | | | | | | | |
|--------------------------|----|--------------------|--|--|--|--|--|--|------|---------|-------|---------------|-------------|----|
| | | DOCUMENT NUMBER | | | | | | | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION | |
| | | | | | | | | | | | | | YES | NO |
| | AL | | | | | | | | | | | | | |
| | AM | | | | | | | | | | | | | |
| | AN | | | | | | | | | | | | | |
| | AO | | | | | | | | | | | | | |
| | AP | | | | | | | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

| | |
|----|---|
| AR | Patent Application AUS9-2000-0831-US1, Serial No. 09/714,729; "Data Processing System and Method for Creating and Distributing a Customized Installation Package for Each of a Plurality of Client Computer Systems", Filed November 16, 2000 |
| AS | Patent Application Serial No. 09/450,558; "System and Method for Managing Documents Having Formula Based Document Links", Filed November 30, 1999 |
| AT | Patent Application YOR9-1999-0457-US1, Serial No. 09/633,037; "Methods and Apparatus for a Web Application Processing System", Filed September 30, 1999 |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.